

#2

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INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	5
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Application Number	09/803,342
Filing Date	3/8/01
First Named Inventor	Frannarz Farahi
Group Art Unit	
Examiner Name	
Attorney Docket Number	33377/196876

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent Document Number	Kind Code (if known)	Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
Alk	1	3,810,688		Ballman et al.	05-14-1974	
	2	3,923,373		Dabby et al.	12-02-1975	
	3	4,037,005		Phillips	07-19-1977	
	4	4,068,920		Bass et al.	01-17-1978	
	5	4,181,399		McMahon et al.	01-01-1980	
	6	4,262,994		Sheem	04-21-1981	
	7	4,323,381		Matsuyama et al.	04-06-1982	
	8	4,417,910		Passaret	11-29-1983	
	9	4,680,046		Matsuo et al.	07-14-1987	
	10	4,680,049		Onorato et al.	07-14-1987	
	11	4,707,174		Johnson, Jr. et al.	11-17-1987	
	12	4,715,672		Duguay et al.	12-29-1987	
	13	4,765,702		Dohan et al.	08-23-1988	
	14	4,767,429		Fleming et al.	08-30-1988	
	15	4,775,401		Fleming et al.	10-04-1988	
	16	5,076,654		Presby	12-31-1991	
	17	5,080,962		Hench	01-14-1992	
	18	5,082,341		Walker	01-21-1992	
	19	5,091,983		Lukosz	02-25-1992	
	20	5,122,894		Grantham	06-16-1992	
	21	5,123,940		DiGiovanni et al.	06-23-1992	
	22	5,157,747		Aktins et al.	10-20-1992	
	23	5,157,756		Nishimoto	10-20-1992	
	24	5,171,344		Noda	12-15-1992	

Examiner Signature	Akm E. ullal	Date Considered	4-23-2003
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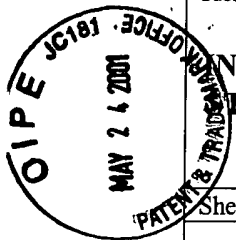
Sheet	2	of	5	Application Number	09/803,342
				Filing Date	3/8/01
				First Named Inventor	Frannarz Farahi
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	33377/196876

25	5,224,195		Yoshida et al.	06-29-1993	
26	5,238,877		Russell	08-24-1993	
27	5,238,880		Inami et al.	08-24-1993	
28	5,254,148		Inami et al.	10-19-1993	
29	5,259,046		DiGiovanni et al.	11-02-1993	
30	5,265,185		Ashley	11-23-1993	
31	5,267,336		Sriram et al.	11-30-1993	
32	5,314,518		Ito et al.	05-24-1994	
33	5,334,551		Komatsu	08-02-1994	
34	5,343,542		Kash et al.	08-30-1994	
35	5,344,475		Bhandarkar et al.	09-06-1994	
36	5,356,447		Bhandarkar	10-18-1994	
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40	5,378,256		Green et al.	01-03-1995	
41	5,381,506		Amick et al.	01-10-1995	
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43	5,404,412		Seino et al.	04-04-1995	
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45	5,420,947		Li et al.	05-30-1995	
46	5,428,695		Ohta	06-27-1995	
47	5,448,659		Tsutsui et al.	09-05-1995	
48	5,465,312		Maxwell et al.	11-07-1995	
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51	5,475,771		Hosoi	12-12-1995	

Examiner Signature	Akm E. Ullah	Date Considered	4-23-2003
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## Complete if Known

Application Number	09/803,342
Filing Date	3/8/01
First Named Inventor	Frannarz Farahi
Group Art Unit	
Examiner Name	
Attorney Docket Number	33377/196876

<u>Anlab</u>	52	5,480,687		Heming et al.	01-02-1996	
	53	5,485,540		Eda et al.	01-16-1996	
	54	5,488,955		Dias et al.	02-06-1996	
	55	5,498,444		Hayes et al.	03-12-1996	
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	57	5,529,595		Ueki et al.	06-25-1996	
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	59	5,537,497		Nelson	07-16-1996	
	60	5,544,268		Bischel et al.	08-06-1996	
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	62	5,561,732		Gergely	10-01-1996	
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	64	5,572,619		Maruo et al.	11-05-1996	
	65	5,578,845		Masuda et al.	11-26-1996	
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	67	5,622,750		Kilian et al.	04-22-1997	
	68	5,623,568		Khan et al.	04-22-1997	
	69	5,630,004		Deacon et al.	05-13-1997	
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	71	5,636,309		Henry et al.	06-03-1997	
	72	5,647,036		Deacon et al.	07-08-1997	
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	74	5,659,332		Ishii et al.	08-19-1997	
	75	5,664,032		Bischel et al.	09-02-1997	
	76	5,675,691		Edlinger et al.	10-07-1997	
	77	5,680,497		Seino et al.	11-21-1997	
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Examiner Signature	<u>Akan E. Ulla</u>	Date Considered	<u>4-23-2003</u>
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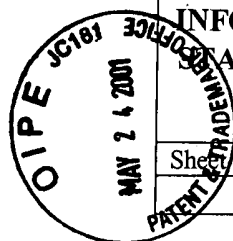
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 4 of 5

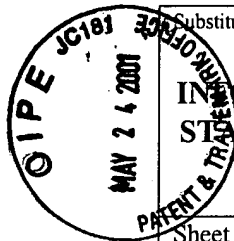
Application Number	09/803,342
Filing Date	3/8/01
First Named Inventor	Frannarz Farahi
Group Art Unit	
Examiner Name	
Attorney Docket Number	33377/196876



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80	5,732,177	Deacon et al.	03-24-1998
81	5,745,617	Starodubov et al.	04-28-1998
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84	5,778,112	Hwang et al.	07-07-1998
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86	5,784,517	Johanson	07-21-1998
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89	5,805,743	Iwamoto et al.	09-08-1998
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91	5,835,458	Bischel et al.	11-10-1998
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100	5,881,186	Starodubov et al.	03-09-1999
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102	5,894,538	Presby	04-13-1999
103	5,911,018	Bischel et al.	06-08-1999
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105	5,923,694	Culver et al.	07-13-1999

Examiner Signature	Akm E. ulla	Date Considered	4-23-2003
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# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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## **Complete if Known**

Application Number	09/803,342
Filing Date	3/8/01
First Named Inventor	Frannarz Farahi
Group Art Unit	
Examiner Name	
Attorney Docket Number	33377/196876

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107	5,937,133	Moss et al.	08-10-1999
108	5,940,568	Lösch	08-17-1999
109	5,953,469	Zhou et al.	09-14-1999
110	5,972,516	Kaneko et al.	10-26-1999
111	5,978,524	Bischel et al.	11-02-1999
112	6,011,641	Shin et al.	01-04-2000
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115	6,039,897	Lochhead et al.	03-21-2000
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120	6,078,705	Neuschafer et al.	06-20-2000
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128	6,122,416	Ooba et al.	09-19-2000
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CLT01/4469362v1

Examiner Signature	Akm E. Ullah	Date Considered	4-23-2003
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Paper no. 5

Substitute for form 1449B/PTO (Revised 10/2001)		MAR 2 2 2002		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		Application Number		09/803,342	
		Filing Date		March 9, 2001	
		First Named Inventor		Faramarz Farahi	
		Group Art Unit		2811	
		Examiner Name		To be assigned	
Sheet	1	of	2	Attorney Docket Number 33377/196876	
<b>OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			
Aullah ↓	3	JEROME PORQUE; PAUL COUDRAY; YVES MOREAU; PASCAL ETIENNE; <i>Propagation in Sol-Gel Channel Waveguides: numerical and experimental approaches</i> ; <u>Optical Engineering</u> ; April 1998; pages 1105-1110; Vol. 37, No. 4; Society of Photo-Optical Instrumentation Engineers; Bellingham, US; ISSN: 0091-3286; XP000771669.			
	4	C.-Y. LI, J. CHISHAM, M. ANDREWS, S.I. NAJAFI, J.D. MACKENZIE, N. PEYGHAMBARIAN; <i>Sol-gel integrated optical coupler by ultraviolet light imprinting</i> ; <u>Electronics Letters</u> ; February 1995; pages 271-272; Vol. 31, No. 4; IEE Stevenage, GB; ISSN: 0013-5194; XP006002424.			
	5	M.A. FARDAD, M.P. ANDREWS, S.I. NAJAFI; <i>Novel sol-gel fabrication of integrated optical waveguides; Integrated Optics Devices: Potential for commercialization</i> , San Jose, CA, USA; February 1997; pages 72-78; Vol. 2997; Proceedings of the SPIE – The International Society for Optical Engineering, 1997, SPIE-Int. Soc. Opt. Eng, USA; ISSN: 0277-786X; XP001039942.			
	6	P. COUDRAY, J. CHISHAM, A. MALEK-TABRIZI, C.-Y. LI, M.P. ANDREWS, N. PEYGHAMBARIAN, S.I. NAJAFI; <i>Ultraviolet light imprinted sol-gel silica glass waveguide devices on silicon</i> ; <u>Optics Communications</u> ; July 1996; pages 19-22; Vol. 128, No. 1; North-Holland Publishing Co.; Amsterdam, NL; ISSN: 0030-4018; XP004018500.			
	7	M.A. FARDAD, M. FALLAHI; <i>Organic-inorganic materials for integrated optoelectronics</i> ; <u>Electronics Letters</u> ; October 1998; pages 1940-1941; Vol. 34, No. 20; IEE Stevenage, GB; ISSN: 0013-5194; XP006010399.			
	8	C.M. CHAN, G.Z. CAO, H. FONG, M. SARIKAYA, T. ROBINSON, L. NELSON; <i>Organic/Inorganic Hybrid Sol-Gel Derived Hard Coatings on Plastics</i> ; <u>Organic/Inorganic Hybrid Materials II, San Francisco, CA, April 5-9, 1999</u> ; April 1999; pages 319-324; Vol. 576; Materials Research Society Symposium Proceedings Vol. 576, Warrendale, PA: MRS, US; ISBN 1-55899-483-1; XP000897930.			

Examiner Signature	Akm E. Ullah	Date Considered	4/23/2003
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Paper no. ⑤

Substitute for form 1449A/PTO  
(Revised 10/2001)

MAR 22 2002

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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**Complete if Known**

Application Number	09/803,342
Filing Date	March 9, 2001
First Named Inventor	Faramarz Farahi
Group Art Unit	2811
Examiner Name	To be assigned
Attorney Docket Number	33377/196876

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**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No.	Document Number Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee of Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
Aullah	1	US- 5,480,687	01-02-1996	Heming et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Foreign Patent Document Country Code - Number Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
Aullah	2	JP 11 202143 A	07-30-1999	Furukawa Electric Co. Ltd.		Abstract

Examiner  
Signature

Atkm E. ullah

Date  
Considered

4-23-2003

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